

**TO THE COMMISSIONER OF CORPORATIONS OF  
THE STATE OF CALIFORNIA**

**VERIFICATION FORM PURSUANT TO  
CALIFORNIA CODE OF REGULATIONS RULE 260.241.2(b)**

(Executed WITHIN or WITHOUT of the State of California)

I, \_\_\_\_\_, declare under penalty of perjury under the laws of the State of California that I have read the annexed financial report and supporting schedules and know the contents thereof to be true and correct to my best knowledge and belief; and neither the licensee nor any partner, officer, or director thereof have any proprietary interest in any account classified solely as that of a customer.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ at

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
(Signature of person signing report)

\_\_\_\_\_  
(Title of person signing report)

\_\_\_\_\_  
(Name of Licensee)

\_\_\_\_\_  
(File Number)

**INSTRUCTIONS:**

If the broker-dealer or investment adviser is a sole proprietorship, the verification shall be made by the proprietor; if a partnership, by a general partner; or if a corporation, by a duly authorized officer.